



IFur

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : St. Goar et al.
Serial No. : 10/635,776
Filed : August 5, 2003
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

Art Unit : 3738
Examiner : Thomas C. Barrett
Conf. No. : 1704

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER


Dear Sir:

Transmitted herewith are a Supplemental Information Disclosure Statement (2 pages), Forms PTO-1449 (5 pages), cited non-U.S. patent references and a return postcard for filing in connection with the above-identified application. Because this Information Disclosure Statement is filed prior to receipt of a first office action on the merits in the above-referenced application, no fee is due. However, should it be determined that a fee for filing these papers is required, the Commissioner is authorized to charge Deposit Account No. 06-1050, as stated below:

☒ The Commissioner is hereby authorized to charge any fees that may be due in connection with this paper or with this application during its entire pendency to Deposit Account No. 06-1050.

Respectfully submitted,

Date: December 22, 2006


Fred C. Hernandez
Reg. No. 41,832

Attorney Docket No. 17315-002001
Address all correspondence to:
Fred C. Hernandez
Fish & Richardson P.C.
12390 El Camino Real
San Diego, California 92130
Telephone: (858) 678-5070
Facsimile: (202) 626-7796
email: fhernandez@fr.com

CERTIFICATE OF MAILING BY FIRST CLASS MAIL
I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

December 22, 2006

Date of Deposit

Signature


Jon Levy



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : St. Goar et al. Art Unit : 3738
Serial No. : 10/635,776 Examiner : Thomas C. Barrett
Filed : August 5, 2003 Conf. No. : 1704
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT IN
ACCORDANCE WITH 37 C.F.R. §§1.97-1.98**

Dear Sir:

Because this Supplemental Information Disclosure Statement is filed before the receipt of a First Office Action on the Merits for the above-captioned application, a fee for filing this statement should not be due. If, however, it is determined that a fee is due, any fees that may be due in connection with filing this paper may be charged to Deposit Account No. 06-1050.

In accordance with the duty of disclosure imposed by 37 C.F.R. §1.56 to inform the Patent Office of all information known by Applicant or Applicant's representative that may be material to the examination of the subject application, Applicant's representative hereby provides this Supplemental Information Disclosure Statement that is prepared in accordance with 37 C.F.R. §§1.97-1.98. Form PTO-1449 (5 pages) and copies of the cited non-U.S. patent documents are provided herewith in connection with the above-captioned application.

The documents listed on the Form PTO-1449 are in the English language. Hence, in accordance with the requirements of 37 C.F.R. §1.98, as amended effective March 16, 1992, no further explanation of the listed item is necessary.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

December 22, 2006

Date of Deposit

Signature 

Jon Levy

Typed or Printed Name of Person Signing Certificate

Applicant : St. Goar et al.
Serial No. : 10/635,776
Filed : August 5, 2003
Page : 2 of 2

Attorney's Docket No.: 17315-002001
Suppl. Information Disclosure Statement

Applicant also makes known to the Examiner the following pending U.S. and International Applications that have one or more common inventors and/or are commonly owned:

<u>U.S.S.N.</u>	<u>Filing Date</u>	<u>Publication No.</u>	<u>Docket No.</u>
10/820,581	04/07/04	2005/0033446	17315-002002
10/927,263	08/25/04	n/a	20489-000160US
10/927,589	08/25/04	n/a	20489-000150US
11/349,742	02/07/06	2006/0229708	17315-004001
11/411,441	04/25/06	n/a	17315-005001

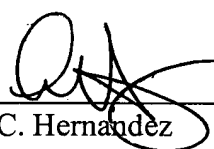
<u>Intl. Ser. No.</u>	<u>Filing Date</u>	<u>Publication No.</u>	<u>Docket No.</u>
PCT/US06/004368	02/07/06	WO 06/086434	17315-004WO1
PCT/US06/015941	04/25/06	WO 06/116558	17315-005WO1

Although these documents are made known to the Patent and Trademark Office in compliance with Applicant's duty of disclosure, such disclosure is not to be construed as an admission by Applicant or Applicant's representative that any of the references or information, singly or in any combination thereof, is effective as prior art against the subject application. In accordance with 37 C.F.R. §1.97 (g and h), the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. §1.56 (b) exists.

Applicant respectfully requests that the Examiner review the foregoing references and make them of record in the file history of the above-captioned application.

Respectfully submitted,

Date: December 22, 2006



Fred C. Hernandez
Reg. No. 41,832

Attorney Docket No. 17315-002001
Address all correspondence to:
Fred C. Hernandez
Fish & Richardson P.C.
12390 El Camino Real
San Diego, California 92130
Telephone: (858) 678-5070
Facsimile: (202) 626-7796
email: fhernandez@fr.com

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
	Applicant St. Goar et al.		
	Filing Date August 5, 2003	Group Art Unit 3738	



U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	2001/0037084	10/01/01	Nardeo	604	95.04	04/25/01
	AB	2003/0120341	06/26/03	Shennib et al.	623	2.12	12/21/01
	AC	2003/0208231	11/06/03	Williamson, IV et al.	606	205	11/08/01
	AD	2003/0233038	12/18/03	Hassett.	600	374	02/24/03
	AE	2004/0024414	02/05/04	Downing	606	108	07/01/03
	AF	2004/0186566	09/23/04	Hindrichs et al.	623	2.37	03/17/04
	AG	2005/0004665	07/07/03	Aklog	623	2.36	07/02/03
	AH	2005/0049698	03/03/05	Bolling et al.	623	2.36	10/18/04
	AI	2005/0055089	03/10/05	Macoviak et al.	623	2.37	07/19/04
	AJ	2005/0059351	03/17/05	Cauwels et al.	455	67.7	10/29/04
	AK	2005/0216039	09/29/05	Lederman	606	144	05/12/05
	AL	2005/0228422	10/13/05	Machold et al.	606	167	03/25/05
	AM	2005/0251001	11/10/05	Hassett	600	374	07/04/05
	AN	2005/0267493	12/01/05	Schreck et al.	606	139	07/20/05
	AO	2006/0030866	02/09/06	Schreck	606	139	10/11/05
	AP	2006/0064115	03/23/06	Allen et al.	606	139	11/15/05
	AQ	2006/0064116	03/23/06	Allen et al.	606	139	11/15/05
	AR	2006/0064118	03/23/06	Kimblad	606	151	11/07/05
	AS	2006/0252984	11/09/06	Rahdert et al.	600	37	03/27/06
	AT	2,097,018	10/26/97	Chamberlain	384	26	07/17/36
	AU	4,064,881	12/27/77	Meredith	606	142	06/01/76
	AV	4,112,951	09/12/78	Hulka et al.	128	831	01/26/76
	AW	4,498,476	02/12/85	Cerwin et al.	606	158	11/17/83
	AX	4,510,934	04/16/85	Batra	606	231	05/13/83
	AY	4,944,295	07/31/90	Gwathmey et al.	227	176.1	02/07/89
	AZ	5,015,249	05/14/91	Nakao et al.	606	142	12/26/89
	AAA	5,047,041	09/10/91	Samuels	606	159	03/23/90

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant St. Goar et al.	
		Filing Date August 5, 2003	Group Art Unit 3738

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	BA	5,108,368	04/28/92	Hammerslag et al.	604	528	09/17/90
	BB	5,125,758	06/02/98	DeWan	402	25	12/06/90
	BC	5,190,554	03/02/93	Coddington et al.	606	113	04/08/92
	BD	5,195,968	03/23/93	Lundquist et al.	604	95.04	07/17/92
	BE	5,275,578	01/04/94	Adams	482	27	01/11/91
	BF	5,314,424	05/24/94	Nicholas	606	41	04/06/92
	BG	5,318,525	06/07/94	West et al.	604	95.04	04/10/92
	BH	5,325,845	07/05/94	Adair	600	114	06/08/92
	BI	5,359,994	11/01/94	Krauter et al.	600	149	01/24/94
	BJ	5,368,564	11/29/94	Savage	604	95.04	12/23/92
	BK	5,368,601	11/29/94	Sauer et al.	606	144	04/30/92
	BL	5,403,312	04/04/95	Yates et al.	606	50	07/22/93
	BM	5,417,699	05/23/95	Klein et al.	606	144	12/10/92
	BN	5,431,666	07/11/95	Sauer et al.	606	139	02/24/94
	BO	5,437,681	08/01/95	Meade et al.	606	145	01/13/94
	BP	5,456,684	10/10/95	Schmidt et al.	606	41	09/08/94
	BQ	5,462,527	10/31/95	Stevens-Wright et al.	604	528	06/29/93
	BR	5,472,044	12/05/95	Hall et al.	165	115	11/24/93
	BS	5,476,470	12/19/95	Fitzgibbons Jr.	606	144	04/15/94
	BT	5,487,746	01/30/96	Yu et al.	606	151	11/23/94
	BU	5,507,725	04/16/96	Savage et al.	604	95.04	11/22/93
	BV	5,507,757	04/16/96	Sauer et al.	606	144	10/18/94
	BW	5,527,313	06/18/96	Scott et al.	606	51	04/06/95
	BX	5,527,322	06/18/96	Klein et al.	606	144	11/08/93
	BY	5,540,705	07/30/96	Meade et al.	606	145	05/19/95
	BZ	5,562,678	10/08/96	Booker	606	113	06/02/95
	CA	5,571,085	11/05/96	Accisano III	604	95.01	03/24/95

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
	Applicant St. Goar et al.		
	Filing Date August 5, 2003	Group Art Unit 3738	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	CB	5,582,611	12/10/96	Tsuruta et al.	606	46	11/14/94
	CC	5,609,598	03/11/97	Laufer et al.	606	142	12/30/94
	CD	5,620,452	04/15/97	Yoon	606	151	12/22/94
	CE	5,626,588	05/06/97	Sauer et al.	606	144	05/03/95
	CF	5,636,634	06/10/97	Kordis et al.	600	534	03/16/93
	CG	5,649,937	07/22/97	Bito et al.	606	139	06/05/95
	CH	5,669,917	09/23/97	Sauer et al.	606	139	05/12/95
	CI	5,706,824	01/13/98	Whittier	600	564	05/20/96
	CJ	5,715,817	02/10/98	Stevens-Wright et al.	600	373	06/07/95
	CK	5,722,421	03/03/98	Francesse et al.	600	564	09/15/95
	CL	5,741,280	04/21/98	Fleenor	606	148	11/13/95
	CM	5,772,578	06/30/98	Heimberger et al.	600	139	09/16/96
	CN	5,782,845	07/21/98	Shewchuk	606	144	06/03/97
	CO	5,810,876	09/22/98	Kelleher	606	205	10/03/95
	CP	5,814,029	09/29/98	Hassett	604	528	06/10/96
	CQ	5,820,592	10-13-1998	Hammerslag	604	95.01	07/16/96
	CR	5,820,631	10/13-/98	Nobles	606	213	08/01/96
	CS	5,843,031	12/01/98	Hermann et al.	604	95.01	10/21/96
	CT	5,860,990	01/19/99	Nobles et al.	606	144	08/23/96
	CU	5,868,733	02/09/99	Ockuly et al.	606	10	04/14/95
	CV	5,891,160	04/06/99	Williamson, IV et al.	606	144	12/04/97
	CW	5,916,147	06/29/99	Boury	600	146	09/22/97
	CX	6,033,378	03/07/00	Lundquist et al.	604	95.01	03/27/97
	CY	6,036,699	03/14/00	Andreas et al.	606	139	03/26/97
	CZ	6,060,628	05/09/00	Aoyama et al.	570	134	08/26/97
	DA	6,060,629	05/09/00	Pham et al.	570	178	09/10/99
	DB	6,066,146	05/23/00	Carroll et al.	606	148	06/24/98

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant St. Goar et al.	
		Filing Date August 5, 2003	Group Art Unit 3738

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	DC	6,077,214	06/20/00	Mortier et al.	600	16	07/29/98
	DD	6,086,600	07/11/00	Kortenbach	606	139	11/03/97
	DE	6,123,699	09/26/00	Webster Jr.	604	528	09/05/97
	DF	6,132,447	10/17/00	Dorsey	606	174	05/04/98
	DG	6,136,010	10/04/00	Modesitt et al.	606	144	03/04/99
	DH	6,162,233	12/19/00	Williamson, IV et al.	606	142	08/06/99
	DI	6,187,003	02/13/01	Buyse et al.	606	49	11/12/97
	DJ	6,203,553	03/20/01	Robertson et al.	606	139	09/08/99
	DK	6,206,893	03/27/01	Klein et al.	606	144	04/08/98
	DL	6,245,079	06/12/01	Nobles et al.	606	144	12/23/99
	DM	6,267,746	07/31/01	Bumbalough	604	95.01	03/22/99
	DN	6,269,534	10/07/03	St. Goar et al.	29	621.1	12/03/98
	DO	6,319,250	11/20/01	Falwell et al.	606	41	11/20/01
	DP	6,322,559	11/27/01	Daulton, et al.	606	41	07/06/98
	DQ	6,332,893	12/25/01	Mortier et al.	623	2.36	12/17/97
	DR	6,464,707	10/15/02	Bjerken	606	139	03/31/00
	DS	6,482,224	11/19/02	Michler et al.	606	219	06/07/99
	DT	6,551,331	04/22/03	Nobles et al.	606	144	01/30/01
	DU	6,562,052	05/13/03	Nobles et al.	606	144	05/13/03
	DV	6,641,592	11/04/03	Sauer et al.	606	144	11/15/00
	DW	6,695,866	02/24/04	Kuehn et al.	606	213	04/05/00
	DX	6,767,349	07/27/04	Ouchi	606	51	02/28/02
	DY	6,875,224	04/05/05	Grimes	606	219	10/17/01
	DZ	6,945,978	09/20/05	Hyde	606	142	11/15/02
	EA	6,949,122	09/27/05	Adams et al.	623	2.36	11/01/01
	EB	6,966,914	11/22/05	Abe	606	113	05/16/02
	EC	7,011,669	03/14/06	Kimblad	606	151	03/10/03

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant St. Goar et al.	
		Filing Date August 5, 2003	Group Art Unit 3738

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	ED	7,112,207	09/26/06	Allen et al.	606	139	04/24/03

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	EE	1674040	6/28/06	EP				
	EF	0727239	8/21/96	EP				
	EG	98/35638	8/20/98	PCT				
	EH	00/59382	10/12/00	PCT				
	EI	01/54618	8/2/01	PCT				
	EJ	04/012789	2/12/04	PCT				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	EK	none

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	